



**WORKING PAPER**

**FACILITATION PANEL (FALP)**

**SEVENTH MEETING**

**Montréal, 22-26 October 2012**

**Agenda Item 5: Amendments to Annex 9**

**PROPOSAL TO ADD A STANDARD TO ANNEX 9 – FACILITATION TO  
ESTABLISH CONTROLS ON THE TRAVEL DOCUMENT ISSUANCE  
PROCESS**

(Presented by Australia, Canada, New Zealand, the United Kingdom and the United States)

**SUMMARY**

In recent years, due to increased physical security of travel documents, fraud has been shifting to the issuance process. This paper proposes that Standard 3.8 be amended and a new Standard 3.8.1 be added that would require States to secure not only the travel document but its entire issuance process.

**Action by the FAL Panel:**

The FAL Panel is invited to consider the proposal described in this paper and agree that Annex 9 be amended, as set out in the Appendix.

**1. INTRODUCTION**

1.1 This paper proposes that Standard 3.8 of Annex 9 – *Facilitation* be amended by removing wording related to travel document issuance and that a new Standard 3.8.1 be included in the Annex to broaden the scope of travel document integrity by securing the entire travel document issuance process.

1.2 Standard 3.8 was incorporated into Annex 9 in 2005 along with a number of other travel document security-related standards. At the time the security focus was primarily on the physical document. With advent of the ePassport and other enhanced security features of travel documents, fraud is increasingly shifting to the issuance process and as such a Standard is required which focuses on securing the entire issuance process.

## 2. DISCUSSION

2.1 Standard 3.8 of *Annex 9 – Facilitation* states:

“Contracting States shall establish controls on the creation and issuance of travel documents in order to safeguard against the theft of their stocks and the misappropriation of newly issued travel documents.”

2.2 The Standard is limited in that it calls for the establishment of controls on the creation and issuance of travel documents only in respect to theft of stock and misappropriation of newly issued travel documents. It fails to identify the importance of ensuring the security of the entire issuance process, including the increasing threat of obtaining genuine travel documents by fraudulent means (impersonation, employee malfeasance, etc.).

2.3 In recent years, due to increased physical security of travel documents, fraud has been shifting to the issuance process. To provide additional security and enhance the integrity of travel documents States need to focus on securing the issuance process including, most importantly, ensuring the identity of the person to whom the travel document is being issued. Furthermore, efforts to enhance the security of the issuance of travel documents will contribute to enhanced national and international security.

2.4 Assembly Resolution 37-20 requested Council to develop guidance material to assist States maintain the integrity and security of their passports and other travel documents. ICAO’s Technical Advisory Group on Machine Readable Travel Documents’s Implementation and Capacity Building Working Group has developed the ICAO *Guide for Assessing Security of Handling and Issuance of Travel Documents* which is currently used in assessment activities and workshops and can be used by States in achieving compliance with the amended standard.

## 3. RECOMMENDATIONS

3.1 Annex 9 should be amended, as set out in the Appendix.

3.2 The Facilitation Manual should be updated to include appropriate guidance or references to existing guidance material.

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## APPENDIX

*Amend* Annex 9 as follows:

3.8 Contracting States shall establish controls ~~on the creation and issuance of travel documents in order~~ to safeguard against the theft of their ~~stocks~~ blank travel documents and the misappropriation of newly issued travel documents.

3.8.1 Contracting States shall establish appropriate controls over the entire travel document application, adjudication and issuance processes to ensure a high level of integrity and security.

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